

**ENVIRONMENTAL ENHANCEMENT AND MITIGATION PROGRAM
GUIDELINES AND APPLICATION
2008-2009 Grant Cycle**

1. GENERAL INFORMATION

1-1. Purpose and Authority

These procedures and criteria guide the evaluation and selection of projects under the Environmental Enhancement and Mitigation (EEM) Program. This program, as provided by Streets and Highways Code Section 164.56, authorizes the allocation of up to \$10 million each year for grants to mitigate the environmental impacts of modified or new public transportation facilities.

The Resources Agency (Agency) prescribes procedures and criteria to evaluate grant proposals and submits a list of proposals recommended for funding to the California Transportation Commission (CTC). The CTC annually awards reimbursement grants to fund proposals from the Agency's list.

1-2. Eligible Applicants

Any State, local, federal or 501(c)(3) non-profit entity may apply for and receive grants. The agency or entity is not required to be transportation or highway related organization, but must be able to demonstrate adequate charter or enabling authority to carry out the type of project proposed. Two or more entities may participate in a project with one designated as the lead agency.

1-3. Implementation Timeline

Applications for funding in the 2008-09 fiscal year (July 1, 2008 through June 30, 2009) must be received in the office by **4:00 p.m. Monday, December 22, 2008.**

Direct all inquiries, correspondence and grant applications to:

Resources Agency
Attn: EEM Program Coordinator
1416 Ninth Street, Suite 1311
Sacramento, CA 95814
(916) 651-7593
eemcoordinator@resources.ca.gov

The Agency will send a list of recommended projects and funding amounts to the CTC by early 2009. In early spring 2009, it is anticipated that the CTC will give preliminary approval to projects to be funded, with funding allocations to be considered at that time or at a subsequent CTC meeting.

The Department of Transportation (Caltrans) executes and administers a contract with each approved grant applicant that is officially called the "Applicant-State Agreement" (referred to as "Agreement" hereinafter). The Agreement is the instrument through which the applicant receives reimbursement for expended project costs. After the CTC approves funding for an EEM project, Caltrans sends the applicant a proposed Agreement. If the proposed Agreement is not returned to Caltrans within 30 calendar days of issuance, Caltrans will contact the applicant to determine if the project remains viable. If Caltrans determines that no Agreement will likely be executed by June 2009, Caltrans will retract the offered Agreement and will offer an Agreement to the next highest applicant in priority.

Environmental clearance documents for Agency recommended projects are required by the CTC and must be submitted to the Caltrans by **Friday, February 27, 2009** for projects to be considered at the early 2009 meeting. Projects without environmental clearance documents will not be considered for funding.

Grant funds should be expended as soon as possible after an Agreement is in place. If the applicant cannot submit its first invoice for reimbursement to Caltrans by one year from the date of the execution of the Agreement, applicant will submit a statement of project progress appropriate to the project that provides assurances that the project will be completed prior to April 30, 2011. Solid assurance includes but is not limited to: project advertisement or firm advertisement schedule, entry into escrow for acquisitions, date project plans will be completed, date of receipt from a specified entity of other needed funding for the project, etc.

1-4. Project Magnitude

Grants for individual projects are generally limited to \$350,000. However, the Agency may recommend awards exceeding the \$350,000 guideline for acquisition projects only, based on the consideration of unique or unusual factors, including, but not limited to, maximum benefits in a one-time or limited opportunity, acquisition of resource lands of a considerable size, substantial leveraging, and/or projects with high statewide significance.

1-5. North/South Split

In accordance with the provisions of Section 187 and 188 of the Streets and Highways Code, an attempt will be made to allocate 40 percent of the total amount recommended to projects in northern counties and 60 percent of the total amount to projects in southern counties. The southern counties are: San Luis Obispo, Kern, Mono, Tulare, Inyo, Santa Barbara, Ventura, Los Angeles, San

Bernardino, Orange, Riverside, San Diego, and Imperial. For purposes of this north/south split, all other counties are considered northern counties.

1-6. Project Funding

No matching funds are required for the EEM Program. However, if the applicant has obtained or is planning to obtain funding from the proposed EEM Program, each source of funds must be shown in the applicant's budget display. If funding will be coming from other grants, especially State of California bond funds, the applicant must identify each source of funding separately and specify the amount and its proposed use on the project's budget. Applicants must also explicitly describe the status of these other grant funds (i.e., have they been granted, applied for but awaiting the granting agency's decision, to be applied for in the future, etc.) in the application narrative.

If the applicant is receiving or expects to receive other grant funds for the EEMP Project directly from a State of California entity, the applicant must provide the name of the granting entity and a contact person's name, address, phone number, and e-mail address (if any).

2. PROJECT GUIDELINES

2-1. Eligible Projects

The categories of environmental enhancement and mitigation projects eligible for funding are:

- A. **Highway Landscape and Urban Forestry** - Projects designed to offset vehicular emissions of carbon dioxide through the planting of trees and other suitable plants. Projects may be within or outside the right-of-way of a Related Transportation Facility. However, reimbursement for the cost of vegetation planted within the public road right-of-way is limited to trees.
- B. **Resource Lands** - Projects for the acquisition, restoration or enhancement of resource lands to mitigate the loss of, or the detriment to, resource lands lying within or near the right-of-way acquired for transportation improvements. Resource lands include natural areas, wetlands, forests, woodlands, meadows, streams or other areas containing fish or wildlife habitat. Enhancement of resource lands may include the restoration of wildlife corridors and fish passages. Additionally, resource lands may contain features of archaeological or historical value.
- C. **Roadside Recreation** - Projects which provide for the acquisition and/or development of roadside recreational opportunities, including parks and greenways, roadside rests, scenic overlooks, trails, and sno-parks.

2-2. Related Transportation Facility

To be eligible for consideration, each environmental enhancement and mitigation project must be directly or indirectly related to the environmental impact of the modification of an existing transportation facility or construction of a new transportation facility. (CA Constitution, Article XIX, Sec. 1) *Indirectly* – as opposed to *directly* – may be used in reference to the geographic location of the projects (in the general area but not in the immediate vicinity) or to the type of benefit produced (developing a scenic viewpoint to mitigate the removal of pine trees.)

For purposes of this program, a transportation facility is defined as a public street, highway, mass transit guideway or their appurtenant features (e.g. park and ride facilities, high-occupancy vehicle lanes, transit stations, etc.) Additionally, the Related Transportation Facility must be 1) a project where construction began after January 1, 1990; or 2) a project which is not yet under construction, but is included in an adopted State transportation program or in a locally adopted and certified capital outlay program.

If a transportation facility is to be constructed in separate and distinct phases, each phase may be considered a separate project for purposes of this definition, provided that each phase creates an operable transportation improvement.

2-3. Minimum Project Requirements

EEMP projects that fail to meet all of the following enumerated minimum requirements will not be considered further:

- A. All EEMP projects must establish and demonstrate a direct or indirect relationship to the environmental impact of modifying an existing transportation facility or construction of a new transportation facility.
- B. All EEMP projects must provide mitigation or enhancement ***in addition*** to the mitigation required as part of the transportation facility to which they are related. The EEMP project cannot supplant mitigation required of the Related Transportation Facility.
- C. The EEMP mitigation, if in or near the right-of-way, must be compatible with and not interfere with the operation or safety of the transportation facilities.
- D. The EEMP mitigation must not limit currently planned or anticipated future improvements to the transportation facility.

Some EEMP proposals may not pass the initial “minimum requirements” screen. Common defects that cause applications to be disqualified from further consideration are:

- The “Related Transportation Facility” is a planning project that, in and of itself, caused no negative environmental impacts. It is *future* projects based on the plan that may cause the environmental impacts.

- The “Related Transportation Facility” does not appear to have caused any negative environmental impacts either directly or cumulatively as a result of several small staged projects each of which received a Categorical Exemption or a Negative Declaration. (See Frequently Asked Questions - Questions 4, 5) However, the Applicant may be aware that the Related Transportation Facility *has* caused significant, negative environmental impacts. In that case it is the responsibility of the grants writer to explain the cumulative or late-occurring negative impacts and how the Related Transportation Facility caused them, In order to meet EEMP qualifying criteria.

3. PROJECT EVALUATION CRITERIA

All projects will be evaluated by the Resources Agency using the following criteria and assigning values based on a point system within the ranges indicated. A maximum of 100 points may be assigned to any one project. Projects will be evaluated on both General Criteria (up to 55 points) and appropriate Project Category Criteria (up to 45 points). In summary, the scoring allocation is as follows:

General Criteria (55 points)

- Increased Mitigation and Enhancement (0-20 points)
- Statewide Project Goals (0-10 points)
- Local Cash Contributions (0-10 points)
- Project Readiness (0-15 points)

Project Category Criteria (45 points)

A. Highway Landscape and Urban Forestry

- Suitability (0-10 points)
- Sustainability (0-10 points)
- Cost Effectiveness (0-20 points)
- Other Benefits and Community Participation (0-5 points)

-OR-

B. Resource Lands

- Important Resource Values (0-30 points)
- Sustainability (0-10 points)
- Other Benefits and Community Participation (0-5 points)

-OR-

C. Roadside Recreation

- Need for the Project (0-30 points)
- Sustainability (0-10 points)
- Other Benefits and Community Participation (0-5 points)

3-1. General Criteria

All projects will be evaluated on the following general criteria:

A. Increased Mitigation and Enhancement (0-20 points)

Projects that will provide the greatest and most appropriate degree of mitigation or enhancement *over and above* that required by the California Environmental Quality Act (CEQA) will be rated the highest. Consideration will be given to

- the degree the project reinforces, complements, or fills a deficiency or need in a larger area, complex, or system,
- or has been identified as a statewide priority in plans, policies, or other pronouncements.

For example, a project that preserves wildlife habitat lands adjacent to other protected wildlife habitat lands may provide greater protection than a smaller, separate habitat lands project. Also, for example, an addition to an existing greenbelt or trail system may provide greater mitigation benefits than a smaller, separate urban forestry or recreation project.

Applicants should describe the environmental impact of the Related Transportation Facility and provide a concise, but complete explanation of the mitigation that

- was or will be undertaken as part of the related transportation facility;
- differentiates the original mitigation from the additional mitigation or enhancement to be funded under the EEM Program;
- establishes how the EEMP project will mitigate the environmental impact of the Related Transportation Facility.

B. Statewide Project Goals (0-10points)

Consistent with the intent of the program, the Resources Agency seeks to fund a diverse group of projects that serve the largest number of people in the widest area possible. Consequently, projects that demonstrate their relevance to larger planning processes (i.e., regional, city, county, State) and have obtained outside financial support will be given priority in this category.

Projects that contribute the most to statewide resource priorities – comprehensive, regional, and preventive initiatives to protect and enhance the State's natural heritage – will be rated the highest. Examples include, but are not limited to, the following:

- Habitat/Ecosystem Restoration and Protection, including conservation of agricultural lands;
- Wetlands Protection and Acquisition;
- Recreational Access;
- State Park Stewardship – enhance or expand the State Park System;

- Land Conservation – acquire open space by state, local or regional entities to protect and preserve the states natural resources;

C. Local Cash Contributions / Other Sources of Funds (0-10 points)

Projects that contribute the greatest proportion of other sources of monetary funding to project development will be rated the highest. However, contributions made prior to Commission approval of the EEMP project, as well as contributions to on-going project maintenance, will not be given credit.

To be evaluated and given appropriate credit, the value of other sources of funds must be estimated and included in the project cost estimate and budget. If a project is ultimately approved for funding, the ratio of EEMP funds to other sources of funds specified in the project application budget will be used by Caltrans for the purposes of reimbursement.

D. Project Readiness (0-15 points)

EEM Program funds must be expended within three-years of the budgeted year. Therefore, projects that can most readily be started and completed will be given higher ratings. Key items in the evaluation of these criteria include:

- Are project designs completed?
- Have funds been specifically appropriated for the Related Transportation Facility?
- Are matching funds readily available?
- Will the proposed mitigation project require any permits or lengthy environmental clearance?
- Is the project consistent with State, regional, and local plans?

4. PROJECT CATEGORY CRITERIA

4-1. Highway Landscape and Urban Forestry Projects

Projects in the Highway Landscape and Urban Forestry (HLUF) category will be evaluated on the following criteria:

A. Suitability (0-5 points)

Explain how the environment is impacted by the Related Transportation Facility and how the EEMP Project will address that impact.

Projects that demonstrate the following will be given priority in this category:

- Ability to provide maximum environmental benefits over the long term (Maximum value = 2 points)
- Serve the greatest area (Maximum value = 2 points)

- Consistency with regional habitat management, and/or regional conservation objectives will be given priority in this category. (Maximum value = 1 point)

B. Sustainability (0-15 points)

Projects where plantings, once established, will thrive without the need for supplemental irrigation will receive priority. Other considerations for sustainability and suitability are:

- Will trees and other plants be environmentally tolerant to drought, smog, soil compaction, frost, wind, etc.? (Maximum value = 2 points)
- Will the project be designed in such a manner as to provide for utilizing native plants and promoting species diversity to reduce the effects of insects and diseases? (For instance, for aesthetic reasons, one variety of tree may be planted along a certain street provided that other varieties are planted on another nearby street, thus providing an adequate mix.) (Maximum value = 4 points)
- Will the trees and other plant species selected be ecologically and physically appropriate for the function to be performed in the planting space available, and will the initial size selected for the planting area have a good chance for survival and growth on the project site? (Maximum value = 2 points)
- What are the environmental benefits of the species selected? (Maximum value = points)
- Have adequate provisions been made for plant establishment and long-term maintenance? What provisions have been made for plantings that fail (e.g. a budget for removal and/or replacement of plants and trees that die)? Note: If maintenance is to be performed by another entity, please include evidence of concurrence from that entity. (Maximum value = 2 points)
- Will the project use recycled or reclaimed water? (Maximum value = 1 points)

C. Cost Effectiveness (0-20 points)

Projects that provide the greatest number of trees and plants and yield the greatest potential for long-term carbon dioxide uptake at the least cost will be ranked highest under this criteria. Consideration will be given for the type of habitat (urban, forest, riparian/wetlands, restoring natives, etc.)

Cost effectiveness considerations include:

- How many trees will be planted in how much space? (Maximum value = 5 points)
- What species of trees and plants will be used? (Please include both the scientific and common names) (Maximum value = 4 points)
- What will be the size and cost for each of the trees and plants proposed? If trees larger than 15-gallon container size are used, what is the justification? (Maximum value = 3 points)

- What type of irrigation system will be installed? (Maximum value = 4 points)
- What is the water source and cost? (Maximum value = 2 points)
- What will be the establishment cost per tree, considering species and installation over the first five years following planting? (Maximum value = 2 points)

(Note: reimbursement for the cost of vegetation planted in public road right-of-way is limited to trees.)

D. Other Benefits and Community Participation (0-5 points)

Projects that provide other benefits (i.e., benefits of other categories -- Roadside Recreation and Resource Lands) and/or demonstrate community support will receive points under this criteria. Other benefits include, but are not limited to, increased public access and recreational opportunities, preservation of wildlife habitat, and active citizen participation in planning and/or maintenance of the project. For example:

- If the project is outside the right-of-way of the Related Transportation Facility, will the trees and other plants be planted in an area that provides reasonable public access or recreational opportunities? (Maximum value = 1 point)
- Will the project provide for enhanced wildlife habitat? (Maximum value = 1 point)
- If the project is outside of the Related Transportation Facility right-of-way, will the project maximize citizen involvement in project planning and implementation and provide stewardship opportunities for long-term maintenance of the trees? (Maximum value = 3 points)

In addition, volunteer labor and/or donated materials, will be viewed favorably as further demonstration of local and community support of the project. If volunteer services or donated items will be used, please provide a description of what will be provided, including value (listed separately from cash contributions) if possible.

4-2. Resource Lands Projects

Projects in the Resource Lands (RL) category will be evaluated on the following criteria:

A. Important Resource Values (0-30 points)

How are resource lands impacted by the Related Transportation Facility, and how does the EEM Project address that impact?

Acquisitions or enhancements to resource lands which impact the following will be rated the highest.

- Lands that protect ecosystems, watersheds, and/or other natural systems (Maximum value = 10 points)
- Lands containing rare, threatened, or endangered species and their habitats (Maximum value = 5 points)
- Lands containing special wildlife values such as wildlife corridors, nesting and breeding areas, wetlands, woodlands, and riparian habitat (Maximum value = 10 points)
- Agricultural lands. (Maximum value = 5 points)

B. Sustainability (0-10 points)

Projects that provide the most reasonable assurance that the resource lands to be acquired or enhanced will be maintained and protected will be ranked the highest under this criteria. If maintenance is to be performed by another entity, please include evidence of concurrence from that entity.

C. Other Benefits and Community Participation (0-5 points)

Projects that provide other benefits (i.e., benefits of other categories -- Highway Landscape and Urban Forestry and Roadside Recreation) and/or demonstrate community support will receive points under those criteria. Other benefits include, but are not limited to,

- increased public access and recreational opportunities (Maximum value = 2 points)
- increased opportunities for interpretive and/or environmental education (Maximum value = 1 points)
- active citizen participation in planning and/or maintenance of the project. (Maximum value = 1 points)
- demonstrated local and community support of the project by using volunteer labor and/or donated materials. (Note: if volunteer services or donated items will be used, please provide a description of what will be provided, including value - listed separately from cash contributions - if possible. (Maximum value = 1 points)

4-3. Roadside Recreation Projects

Projects in the Roadside Recreation (RR) category will be evaluated on the following criteria:

A. Need for the Project (0-30 points)

Applications that demonstrate the greatest need for the particular roadside recreational facility will be ranked the highest. Roadside projects with statewide significance, such as State Park Stewardship, will be given priority in this category. For example:

- How are recreational opportunities impacted by the Related Transportation Facility?
- Why should this particular project be funded?

- Is there a deficiency of similar opportunities along that roadway?
- Who will be served by this project, and what is the estimated visitor use?
- Does the project connect to or complement other recreation areas or facilities?
- Are there any barriers to public access?

B. Sustainability (0-10 points)

Entities that demonstrate the greatest ability to operate and maintain the proposed recreational facility will be given the highest ranking under this criteria. For example:

- What is your experience in operating/maintaining this type of project or other recreation project?
- How do you propose to maintain and operate the project? If maintenance is to be performed by another entity, please include evidence of concurrence from that entity.
- How environmentally friendly are the materials and construction techniques?
- How will materials and equipment be resistant to or protected from vandalism?

C. Other Benefits and Community Participation (0-5 points)

Projects that provide other benefits (i.e., benefits of other categories -- Highway Landscape and Urban Forestry and Resource Lands) and/or demonstrate community support will receive points under this criteria. Other benefits include, but are not limited to, the use of plants and trees to offset vehicular emissions, preservation of wildlife and natural habitat, increased opportunities for interpretive and/or environmental education, and active citizen participation in planning and/or maintenance of the project. Examples that address this criteria might include:

- Self-guided nature walks utilizing interpretive signs and displays at the project entrance and/or key viewing points.
- Litter abatement and beverage container recycling opportunities.
- Involvement of volunteers or citizen organizations in interpretive and educational activities, litter cleanup, and maintenance.

In addition, volunteer labor and/or donated materials, will be viewed favorably as further demonstration of local and community support of the project. If volunteer services or donated items will be used, please provide a description of what will be provided, including value (listed separately from cash contributions) if possible.

5. COSTS AND ACCOUNTING

5-1. Eligible EEM Project Costs

The Resources Agency may recommend projects to the California Transportation Commission (CTC) with unallocated reductions in grant funding or with specific line item reductions. In such cases, the applicant may elect to use non-grant sources of funding if it is deemed necessary to complete the project as planned. Only project-related costs incurred during the project performance period specified in the project budget and Agreement will be eligible for reimbursement. All such costs are funded on a reimbursement basis, and will be held to the ratio of EEM funds to Other Sources of Funding designated in the budget and Agreement, which is generally the ratio specified by the applicant in the original project proposal. All costs submitted for reimbursement must be supported by appropriate invoices, purchase orders, canceled warrants, and other records.

Costs incurred in advance of a signed Agreement with the State are not eligible for reimbursement.

Only direct costs are eligible. General program administrative costs, general overhead costs (i.e., costs calculated as a percentage of other direct costs, such as telephone, fax, and space rental, etc.), and ongoing project maintenance are not eligible for reimbursement.

5-2. Specific EEM Project Costs

A. Preliminary Project Costs

Preliminary project costs (e.g. construction plans, appraisals, acquisition negotiations, etc.) are eligible for reimbursement. However, costs incurred prior to both the execution of an Agreement between the State and the applicant and the allocation vote by the California Transportation Commission will not be reimbursed.

B. Personnel and Employee Services

Services of the applicant's employees directly engaged in project execution are eligible costs. These costs must be computed according to the applicant's prevailing wage or salary scales and may include fringe benefit costs such as vacations, sick leave, social security contributions, etc. that are customarily charged to the applicant's projects. Costs charged to the project must be computed on actual time spent on the project and be supported by time and attendance records describing the work performed on the project. Overtime costs may be allowed under the applicant's established policy, provided that the regular work time was devoted to the same project.

Salaries and wages claimed for employees working on State grant funded projects must not exceed the applicant's established rates for similar positions.

C. Consultant Services

The costs of consultant services necessary for the project are eligible. Consultants must be paid by the customary or established method and rate of the applicant. No consultant fee may be paid to the applicant's own employees without prior approval or unless specifically agreed to by the State.

D. Construction Equipment

The following conditions apply to the allocation of costs for construction equipment:

- Equipment owned by the applicant may be charged to the project for each use. Equipment use charges must be made in accordance with the applicant's normal accounting practices. The equipment rental rates published by the State Department of Transportation may be used as a guide. (refer to <http://www.dot.ca.gov/hq/construc/equipmnt.html>)
- If the applicant's equipment is used, a report or source document must describe the work performed, indicate the hours used, and relate the use to the project. This document must be signed by the operator and supervisor.
- Equipment may be leased, rented, or purchased, whichever is most economical. If equipment is purchased, its residual market value must be credited to the project costs upon completion.

E. Construction Costs

The cost of all necessary construction activities from site preparation (including excavation, grading, etc.) to the completion of a structure or facility is eligible. Also eligible are contract costs for tree planting and irrigation systems.

F. Trees, Supplies, And Materials

Trees, supplies, and materials, including irrigation equipment may be purchased for a specific project or may be drawn from a central stock, provided that they are claimed at a cost no higher than that paid by the applicant. However, reimbursement for the cost of vegetation planted within public road right-of-way is limited to trees.

G. Acquisition Costs

The costs of acquiring real property are eligible and may include the purchase price of the property, appraisals, surveys, preliminary title reports, escrow fees, and title insurance fees. Grant applicants are encouraged to explore the feasibility of acquiring easements rather than fee title when appropriate.

Important Note: Applicants who propose to purchase property or

conservation easements must accept, sign, notarize, and record an "Agreement Declaring Restrictive Covenant" (ADRC). Without an ADRC, Caltrans will not reimburse applicants for their acquisition costs. Further, lack of an ADRC puts project funds at risk and could negatively affect future requests for EEM Program funds. A copy of the ADRC format is posted to the EEMP website.

H. Other Expenditures

In addition to the major categories of expenditures, reimbursements may be made for miscellaneous costs necessary for execution of the project. Some of these costs are:

- Premiums on hazard and liability insurance to cover personnel and/or property
- Work performed by another section or department of the applicant's agency.
- Transportation costs for moving equipment and/or personnel.

6. ADDITIONAL INFORMATION ON THE PROGRAM AND PROCEDURES

Accounting procedures and eligible costs for this program are established by Caltrans and any needed additional information can be obtained from the appropriate Caltrans District Local Assistance Office, (see the attached list and map for specific locations and contact persons). This information is on-line at: (<http://www.dot.ca.gov/localoffice.htm>)

Completed applications and questions regarding the EEM Program Guidelines and Application should be directed to

EEM Program Coordinator
Resources Agency
1416 Ninth Street, Suite 1311
Sacramento CA 95814.
(916) 651-7593
eemcoordinator@resources.ca.gov

Checklist for Environmental Enhancement and Mitigation Program Applications

The following items, as applicable, are required for the EEM Program application. Submit a total of **eight** copies of all materials (original plus seven copies.) Please assemble your application in the order listed below and number each page.

1. Signed Application Face-Sheet and Assurances (see attached)

2. Table of Contents (with page number references)

3. EEMP Project Summary

One page description of project scope, location, and purpose, and amount of request. (Please explain any grant request that exceeds the specified funding limitation, if applicable.)

4. Agency Eligibility

Authorizing resolution to apply for grant, required for local agencies and nonprofit organizations. (sample attached)

IRS determination letter of Section 501(c)(3) non-profit status, if applicable

Statement of related prior experience for local agencies and nonprofit applicants

5. Related Transportation Facility

Discussion of Related Transportation Facility, the environmental impacts, and required mitigation.

Description of the additional mitigation proposed by the EEMP project.

Related Transportation Facility Lead Agency form letter (provided in this application package) plus a copy of the Notice of Determination and State Clearinghouse Response for the Related Transportation Facility.

6. General Criteria

Narrative and quantitative explanations for each of the General Criteria

7. Project Category Criteria

Narrative and quantitative explanations for each of the Project Category Criteria for the category of grant project being proposed

8. Exhibits

- A. Statement of project consistency with local, State, and/or federal plans, and list of permits and approvals needed and applications filed with involved agencies.
- B. Project cost estimate (by line item-object of expense, excluding overhead costs).
- C. Proposed project development budget showing sources of cash funding. If volunteer services or donated items will be used, do not include these in this budget document. (You may discuss their value separately from monetary contributions under the Other Benefits and Community Participation criteria.)
- D. Project completion schedule, including anticipated submittal date of first invoice for reimbursement.
- E. Quarterly project development cash expenditure plan. (Note: this requirement may not be applicable to land acquisition grants that will be purchased all at once. If this is the case, so note in the application.)
- F. Project location map.
- G. Project site photos.
- H. Project designs or concept drawings.
- I. Acquisition schedule, and map (parcel numbers and boundaries) if applicable
- J. Letter from the lead agency for the Related Transportation Facility with a copy of the Notice of Determination (filed and stamped) plus the State Clearinghouse Response.
- K. Letter from a certified arborist, registered professional forester, or registered landscape architect, including certifying the following for projects involving tree planting:
 - appropriateness of species for location and carbon dioxide uptake capability,
 - optimal initial tree size for survival,
 - proper planting and maintenance ensured,
 - compliance with local ordinances, and
 - compliance with specified nursery stock standards.
- L. For all projects involving plantings, a description of the number of plantings, species, size, density, and locations.
- M. All other exhibits (e.g. agreements with other involved agencies, etc.)
- N. Letters of endorsement, and/or letters of support from community groups mentioned in the application (if applicable).

**2008-2009 ENVIRONMENTAL ENHANCEMENT AND MITIGATION PROGRAM
APPLICATION**

(Enter EEM Project Information under Section A and Related Transportation Facility Information under Section B)

PROGRAM CATEGORY (check one category, only, below)

(1) __ Highway Landscape and Urban Forestry (2) __ Resource Lands (3) __ Roadside Recreation

A. GRANT PROJECT _____

(A.1) AMOUNT OF GRANT REQUEST \$ _____

(A.2) ESTIMATED TOTAL PROJECT COST \$ _____

(Including other sources of funds such as Grants, Donations, etc., excluding cost of the Related Transportation Facility)

(A.3) GRANT APPLICANT

(A.31) Agency Name
(A.32) Street Address
(A.33) P.O. Box, if any
(A.34) ZIP code

TYPE of AGENCY (Check one Box)

(A.35) Local Agency ____
(A.36) State Agency ____
(A.37) Federal Agency ____
(A.38) non-profit ____

(A.4) GRANT PROJECT LOCATION

(A.41) Nearest Cross Street
(A.42) County
(A.43) Nearest City
(A.44) Latitude and Longitude
(A.45) Senate District No.
(A.46) Assembly District No.
(A.47) Project Location: (refer to 1-5. North/South Split on page 2. check one) ____ North ____ South

Grant Applicant's Representative Authorized in Resolution

Name Title Phone

Email address

Person with day-to-day responsibility for grant project (if different than authorized representative)

Name Title Phone

Email address

(A.5) BRIEF DESCRIPTION OF GRANT PROJECT (scope, location, purpose – not to exceed 60 words)

(A.51) ANTICIPATED GRANT PROJECT START DATE: _____

(A.52) ANTICIPATED GRANT COMPLETION DATE: _____

(A.6) ENVIRONMENTAL CLEARANCE FOR GRANT PROJECT (check proposed type and status)

Primary environmental impact of the Related Transportation Facility

Required environmental mitigation for the Related Transportation Facility

(A.61) Type: (A.611) Exempt___ (A.612) Negative Declaration___
(A.613) Categorical Exemption___ (A.615) Environmental Impact Report___

(A.62) Status: (A.621) Complete___ (A.622) In Progress___ (A.623) Not Started___

(A.63) Name of Lead Agency_____

Note: Final environmental documents must be submitted to the CTC before being considered for funding

B. RELATED TRANSPORTATION FACILITY

(B.1) Transportation District (B.2) City (B.3) County (B.4) Route Number / Name

(B.5) Location

(B.6) Description of Related Transportation Facility

(B.7) Name of Transportation Agency

(B.8) Date Construction Began or Scheduled

(B.9) Name of Approved/Certified Capital Outlay Program for Related Transportation Facility

I certify that the information contained in this project application form, including required attachments, is accurate and that I have read and understand the Assurances which are a part of this application.

Signed_____ **Date**_____
(Grant Applicant's Authorized Representative, as shown on the Resolution)

C. ASSURANCES

Applicant possesses legal authority to apply for the grant and to finance, acquire, and construct the proposed project; and by formal action (i.e., a resolution) the applicant's governing body authorized the filing of the application, including all understandings and assurances contained therein, and authorized the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.

Applicant will manage and maintain into the future any property acquired, developed, rehabilitated, or restored with grant funds provided through this program. For property acquisition or conservation easement, applicant will accept, sign, notarize, and record an Agreement Declaring Restrictive Covenant (ADRC) developed by the California Department of Transportation. With the granting agency's prior approval, the applicant or its successors in interest may transfer the management and maintenance responsibilities in the property. If the property is not managed and maintained for the purposes stated in the Agreement, the state shall be reimbursed an amount at least equal to the amount of the grant award or, for real property, the pro rata fair market value of the property, including improvements, at the time of sale, whichever is higher.

Applicant will give the state's authorized representative access to and the right to examine all records, books, papers, or documents related to the grant.

Applicant will cause work on the project to be commenced within a reasonable time after receipt of notification from the State that funds have been approved and that the project will be carried to completion with reasonable diligence. If applicant cannot submit its first invoice for reimbursement to Caltrans by one year from the date of the execution of the applicant-State agreement, applicant will submit a statement of project progress appropriate to the project that provides real assurances that the project will be completed prior to April 30, 2011, including but not limited to: project advertisement or firm advertisement schedule, entry into escrow for acquisitions, date project plans will be completed, anticipated date of receipt of other needed funds from specified entity, etc.

Applicant will comply where applicable with provisions of the California Environmental Quality Act and the California Relocation Assistance Act and any other state, and/or local laws, rules and/or regulations.

Applicant Name: _____

Project Name: _____

Signed _____ Date _____
(Grant Applicant's Authorized Representative)

SAMPLE RESOLUTION

Resolution No:
RESOLUTION OF THE

(GOVERNING BODY)

OF _____ APPROVING
(NONPROFIT ORGANIZATION/SPECIAL PURPOSE LOCAL AGENCY)

THE APPLICATION FOR GRANT FUNDS FOR THE ENVIRONMENTAL
ENHANCEMENT AND MITIGATION PROGRAM UNDER THE SECTION 164.56 OF
THE STREETS AND HIGHWAYS CODE FOR THE FOLLOWING PROJECT:

(PROJECT NAME)

WHEREAS, the Legislature of the State of California has enacted AB 471 (Chapter 106 of the Statutes of 1989), which is intended to provide \$10 million annually for a period of 10 years for grant funds to local, state and federal agencies and nonprofit entities for projects to enhance and mitigate the environmental impacts of modified or new public transportation facilities; and

WHEREAS, the Resources Agency has established the procedures and criteria for reviewing grant proposals and is required to submit to the California Transportation Commission a list of recommended projects from which the grant recipients will be selected; and

WHEREAS, said procedures and criteria established by the Resources Agency require a resolution certifying the approval of application by the applicant's governing body before submission of said application to the State; and

WHEREAS, the application contains assurances that the applicant must comply with; and

WHEREAS, the applicant, if selected, will enter into an agreement with the State of California to carry out the environmental enhancement and mitigation project;

NOW, THEREFORE, BE IT RESOLVED THAT THE

(GOVERNING BODY)

1. Approves the filing of an application for the Environmental Enhancement and Mitigation Program for grant assistance.
2. Certifies that said applicant will make adequate provisions for operation and maintenance of the project.
3. Appoints _____ as agent of
(NAME AND TITLE)
the _____ to
(NONPROFIT ORGANIZATION/SPECIAL PURPOSE LOCAL AGENCY)

SAMPLE RESOLUTION (continued)

conduct all negotiations, execute and submit all documents, including, but not limited to applications, agreements, amendments, payment requests and so on, which may be necessary for the completion of the aforementioned project.

Approved and Adopted the _____ day of _____, 2____.

I, the undersigned, hereby certify that the foregoing Resolution Number _____ was duly adopted by the

(GOVERNING BODY)

following roll call vote:

Ayes:

Noes:

Absent:

(CLERK/SECRETARY FOR THE GOVERNING BODY)

**LETTER FROM THE LEAD AGENCY RESPONSIBLE FOR
THE RELATED TRANSPORTATION FACILITY**

Please provide the following Information on Lead Agency Stationery

Send a letter addressed to:

Resources Agency
Attn: EEMP Coordinator
1416 Ninth St., Suite 1311
Sacramento, CA 95814

SUBJECT: ENVIRONMENTAL ENHANCEMENT and MITIGATION PROJECT

The following information is provided regarding the construction of a new transportation facility, or the enhancement of an existing transportation facility, in order to assist in the review of a proposed Environmental Enhancement and Mitigation Program (EEMP).

Title of the Proposed EEMP Project:

Required Information about the Related Transportation Facility:

- Project description:
- Kind of environmental document required:
- Status of environmental document:
- List of the major environmental mitigation measures required for or expected to be required:
- Location of Related Transportation Facility:
- Construction start date: _____ Attach a copy of the Notice of Determination or Notice of Exemption (filed and stamped)
- Attach a copy of the State Clearinghouse Response letter.

Required Information about the Proposed EEMP Project and the Related Transportation Facility:

1. Does any part of the proposed EEMP project provide the same environmental mitigation or enhancements required of the transportation project? (If "yes," please explain.)
2. Is the proposed EEMP project compatible with the transportation facility, or does it interfere with the transportation facility operation or safety? (If incompatible, please explain.)
3. Does the proposed EEMP project limit or interfere with planned or anticipated future improvements to the transportation facility? (If it interferes, please explain.)
4. Describe any concerns about the proposed EEMP project (e.g., design, safety, tree density, other EEMP project previously undertaken to mitigate the impact of this transportation project, etc.)

Signature: Transportation Agency Representative

Title

Name of Transportation Agency